



An Equal Opportunity/Affirmative Action Employer

## **Announcement of Intention to Fill a Job Vacancy**

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### **Associate Attorney Financial Services, M-3**

**Location:** One State Street, New York City

**Business Unit:** Office of General Counsel

**Negotiating Unit:** Management Confidential (MC)

Please note that a change in negotiating unit may affect your salary, insurance and other benefits.

**Salary:** \$108,665 - \$137,319

**Positions located within the New York City metropolitan area, as well as Suffolk, Nassau, Rockland, and Westchester Counties, are also eligible to receive an additional \$3,087 annual downstate adjustment.**

**Appointment Status:** Permanent

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The New York State Department of Financial Services seeks to build an equitable, transparent, and resilient financial system that benefits individuals and supports business. Through engagement, data-driven regulation and policy, and operational excellence, the Department and its employees are responsible for empowering consumers and protecting them from financial harm; ensuring the health of the entities we regulate; driving economic growth in New York through responsible innovation; and preserving the stability of the global financial system.

The Department of Financial Services is seeking candidates for the position of Associate Attorney Financial Services in the Office of General Counsel. Duties include, but are not limited to, the following:

- Provides regular mandatory ethics training to staff including to policymakers, financial disclosure statement filers, new hires and interns about their duties and responsibilities under the Public Officers Law, applicable sections of the Financial Services Law, and other applicable laws and regulations;
- Monitors and responds in a timely manner to the Commission on Ethics and Lobbying in Government (Commission) monthly and quarterly training data reporting;
- Supervises staff assisting with the administration of the ethics function;
- Drafts recusal memos, ethics waivers, responses to outside activity requests, and official activity expense payments ethics memos;
- Identifies and updates internal policies, procedure manuals and applicable laws;
- Provides ethics onboarding of new hires and offboarding of separating staff;
- Reviews new hire conflict of interest (COI) forms and spring and summer interns' resumes for conflicts and provides guidance to HR;
- Monitors, tracks and follows up on emails from Governor's Appointments Office about new employee conflicts and recusals;
- Issues filing reminders to financial disclosure statement (FDS) filers, monitor Commission notices of FDS filing delinquencies and follow up with delinquent employees;
- Monitors staff compliance with Section 166 reporting (Notice of Appearance) and Project Sunlight reporting, quarterly monitoring and training;
- Reviews, edits and provides guidance on consultant/vendor contracts and service agreements, memoranda of understanding, and confidentiality/information sharing agreements to ensure they protect DFS and the state and comply with applicable laws;

- Reviews and provides guidance to the contract team on consultant/vendor responses to conflict of interest and vendor questionnaires and general conflict issues;
- Reviews and drafts timely responses to FOIL Appeals and provides advice and recommendations to the FOIL Appeal Officer;
- Provides litigation assistance as appropriate on agency response to Article 78 proceedings arising out of FOIL appeals; and
- Conducts research and writing and performs other tasks and special projects as assigned.

### **Preferred Qualifications**

- Experience delivering and facilitating training.
- Ethics and FOIL experience preferred.
- Strong written and oral communication skills.

### **Appointment method:**

**List Appointment:** Candidates must be reachable on the Civil Service eligible list for Associate Attorney #38-852.

**Transfer:** Candidates must have one year of permanent competitive service in a title eligible for transfer via Sections 70.1 or 52.6 of the Civil Service Law. Information regarding transfer eligibility may be available on the Civil Service Career Mobility Office website at <http://careermobilityoffice.cs.ny.gov/cmo/>.

*Please Note that under Civil Service Law, an employee cannot have two consecutive upward 70.1 or 52.6 transfers without an intervening eligible list appointment if such transfers would exceed two salary grades.*

**To Apply:** Interested qualified candidates must submit a resume and letter of interest **no later than October 31, 2023** to the email address listed below. Please include the Box # **(Box AAFS-06301)** in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Ryan Taratus  
Box AAFS-06301  
New York State Department of Financial Services  
Office of Human Resources Management  
One Commerce Plaza, Suite 301  
Albany, NY 12257  
Email: [ryan.taratus@dfs.ny.gov](mailto:ryan.taratus@dfs.ny.gov)  
Fax: (518) 402-5071

**All candidates that apply may not be scheduled for an interview**

### **Public Service Loan Forgiveness**

Employment with New York State qualifies an individual for Public Service Loan Forgiveness (PSLF). This program forgives the remaining balance on any Direct Student Loans after you have made 120 qualifying monthly payments while working full-time for a U.S. federal, state, local, or tribal government or not-for-profit organization. To learn more about the program and whether you would qualify, please visit: <https://studentaid.gov/manage-loans/forgiveness-cancellation/public-service>

### **AMERICANS WITH DISABILITIES ACT: REASONABLE ACCOMMODATIONS**

Under the Americans with Disabilities Act (ADA), the Department of Financial Services is required to provide reasonable accommodation for known physical or mental limitations of an otherwise qualified applicant with a disability if an accommodation would enable the applicant to perform the essential functions of the job. If the accommodation would constitute an undue hardship on the operations of the agency, the agency is not required to provide it.

***Pursuant to Executive Order 161, no State entity, as defined by the Executive Order, is permitted to ask, or mandate, in any form, that an applicant for employment provide his or her current compensation, or any prior compensation history, until such time as the applicant is extended a conditional offer of employment with compensation. If such information has been requested from you before such time, please contact the Office of Employee Relations at (518) 473-3130 or via email at [response@oer.ny.gov](mailto:response@oer.ny.gov).***